

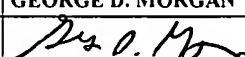
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		Attorney Docket No. <b>14846-29</b>	
		First Inventor <b>Mathews, et al.</b>	
		Title <b>Methods and Systems for Trading Financial Instrumen</b>	
		Express Mail Label <b>ET 307105247 US</b>	

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.		<b>ADDRESS TO:</b> Mail Stop Patent Application Commissioner for Patents P. O. Box 1450 Alexandria VA 22313-1450	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages <b>16</b> ] (preferred arrangement set forth below) - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <b>5</b> ] 5. Oath or Declaration [Total Pages <b>1</b> ] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies		
<b>ACCOMPANYING APPLICATION PARTS</b>			
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other: Petition to Make Special; Search Report; Unexecuted Declaration and Power of Attorney			
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: _____ Prior application information: Examiner _____ Group / Art Unit: _____ For CONTINUING OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
<b>19. CORRESPONDENCE ADDRESS</b>			
<input type="checkbox"/> Customer Number: _____ or <input type="checkbox"/> Correspondence address below			
Name	<b>GEORGE D. MORGAN, ESQ; REG. NO: 46,505</b> <b>LOWENSTEINS SANDLER PC</b>		
Address	<b>65 LIVINGSTON AVENUE</b>		
City	<b>ROSELAND</b>	State	<b>NJ</b>
		Zip Code	<b>07068</b>
Country	<b>UNITED STATES</b>	Telephone	<b>973-597-2500</b>
		Fax	<b>973-597-2400</b>

Name (Print/Type) <b>GEORGE D. MORGAN</b>	Registration No. (Attorney/Agent) <b>46,505</b>
Signature 	Date <b>December 5, 2003</b>

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.


 17510 U.S. PTO  
 10/730498

**PATENT APPLICATION TRANSMITTAL LETTER**  
(Large Entity)

Docket No.  
14846-29

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith for filing under 35 U.S.C. 111 and 37 C.F.R. 1.53 is the patent application of:

Mathews, et al.

For: Systems and Methods for Trading Financial Instruments Across Different Types of trading Platforms

Enclosed are:

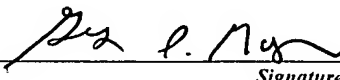
- ☒ Certificate of Mailing with Express Mail Mailing Label No.
- ☒ 5 sheets of drawings.
- ☐ A certified copy of a application.
- ☒ Declaration ☐ Signed. ☒ Unsigned.
- ☒ Power of Attorney
- ☒ Information Disclosure Statement
- ☐ Preliminary Amendment
- ☒ Other: PETITION TO MAKE SPECIAL

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	17	- 20 =	0	x \$18.00	\$0.00
Indep. Claims	3	- 3 =	0	x \$86.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$770.00
TOTAL FILING FEE					\$770.00

- ☐ A check in the amount of to cover the filing fee is enclosed.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 501358 as described below.
  - ☒ Charge the amount of \$770.00 as filing fee.
  - ☒ Credit any overpayment.
  - ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
  - ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: December 5, 2003

  
Signature  
GEORGE D. MORGAN, ESQ.

Attorneys for Applicant  
LOWENSTEIN SANDLER, PC  
65 LIVINGSTON AVENUE  
ROSELAND, NJ 07068  
973-597-2500  
973-597-2400 fax

cc:

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2003</h2> <p style="margin: 0; font-size: small;">Effective 01/01/2003. Patent fees are subject to annual revision.</p>		<b>Complete if Known</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Application Number	TBA
		Filing Date	December 5, 2003
		First Named Inventor	Mathew, et al.
		Examiner Name	TBA
		Art Unit	TBA
TOTAL AMOUNT OF PAYMENT (\$) <b>\$900.00</b>		Attorney Docket No. 14846-29	

METHOD OF PAYMENT (check all that apply)	FEE CALCULATION (continued)																																																																																																																																																																																													
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None <input checked="" type="checkbox"/> Deposit Account: Deposit Account Number: <b>501358</b> Deposit Account Name: <b>LOWENSTEIN SANDLER PC</b> The Director is authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.	<h3>3. ADDITIONAL FEES</h3> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>1051</td> <td>130</td> <td>2051</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>1052</td> <td>50</td> <td>2052</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>1053</td> <td>130</td> <td>1053</td> <td>130</td> <td>Non - English specification</td> <td></td> </tr> <tr> <td>1812</td> <td>2,520</td> <td>1812</td> <td>2,520</td> <td>For filing a request for <i>ex parte</i> reexamination</td> <td></td> </tr> <tr> <td>1804</td> <td>920*</td> <td>1804</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>1805</td> <td>1,840*</td> <td>1805</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>1251</td> <td>110</td> <td>2251</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>1252</td> <td>410</td> <td>2252</td> <td>205</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>1253</td> <td>930</td> <td>2253</td> <td>465</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>1254</td> <td>1,450</td> <td>2254</td> <td>725</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>1255</td> <td>1,970</td> <td>2255</td> <td>985</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>1401</td> <td>320</td> <td>2401</td> <td>160</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>1402</td> <td>320</td> <td>2402</td> <td>160</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>1403</td> <td>280</td> <td>2403</td> <td>140</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>1451</td> <td>1,510</td> <td>1451</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>1452</td> <td>110</td> <td>2452</td> <td>55</td> <td>Petition to revive - unavoidable</td> <td></td> </tr> <tr> <td>1453</td> <td>1,300</td> <td>2453</td> <td>650</td> <td>Petition to revive - unintentional</td> <td></td> </tr> <tr> <td>1501</td> <td>1,300</td> <td>2501</td> <td>650</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>1502</td> <td>470</td> <td>2502</td> <td>235</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>1503</td> <td>630</td> <td>2503</td> <td>315</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>1460</td> <td>130</td> <td>1460</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>1807</td> <td>50</td> <td>1807</td> <td>50</td> <td>Processing fee under 37 CFR § 1.17(q)</td> <td></td> </tr> <tr> <td>1806</td> <td>180</td> <td>1806</td> <td>180</td> <td>Submission of Information Disclosure Statement</td> <td></td> </tr> <tr> <td>8021</td> <td>40</td> <td>8021</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>1809</td> <td>750</td> <td>2809</td> <td>375</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td></td> </tr> <tr> <td>1810</td> <td>750</td> <td>2810</td> <td>375</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td></td> </tr> <tr> <td>1801</td> <td>750</td> <td>2801</td> <td>375</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>1802</td> <td>900</td> <td>1802</td> <td>900</td> <td>Request for expedited examination of a design application</td> <td></td> </tr> <tr> <td colspan="5">Other fee (specify) <u>Petition to Make Special</u></td> <td style="text-align: right;">130.00</td> </tr> <tr> <td colspan="5" style="text-align: right;"> <b>SUBTOTAL (3) (\$)</b> <b>\$130.00</b> </td> </tr> </tbody> </table>	Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1051	130	2051	65	Surcharge - late filing fee or oath		1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet		1053	130	1053	130	Non - English specification		1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination		1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action		1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action		1251	110	2251	55	Extension for reply within first month		1252	410	2252	205	Extension for reply within second month		1253	930	2253	465	Extension for reply within third month		1254	1,450	2254	725	Extension for reply within fourth month		1255	1,970	2255	985	Extension for reply within fifth month		1401	320	2401	160	Notice of Appeal		1402	320	2402	160	Filing a brief in support of an appeal		1403	280	2403	140	Request for oral hearing		1451	1,510	1451	1,510	Petition to institute a public use proceeding		1452	110	2452	55	Petition to revive - unavoidable		1453	1,300	2453	650	Petition to revive - unintentional		1501	1,300	2501	650	Utility issue fee (or reissue)		1502	470	2502	235	Design issue fee		1503	630	2503	315	Plant issue fee		1460	130	1460	130	Petitions to the Commissioner		1807	50	1807	50	Processing fee under 37 CFR § 1.17(q)		1806	180	1806	180	Submission of Information Disclosure Statement		8021	40	8021	40	Recording each patent assignment per property (times number of properties)		1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))		1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))		1801	750	2801	375	Request for Continued Examination (RCE)		1802	900	1802	900	Request for expedited examination of a design application		Other fee (specify) <u>Petition to Make Special</u>					130.00	<b>SUBTOTAL (3) (\$)</b> <b>\$130.00</b>				
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																																																																																									
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																																																																											
1051	130	2051	65	Surcharge - late filing fee or oath																																																																																																																																																																																										
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																										
1053	130	1053	130	Non - English specification																																																																																																																																																																																										
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination																																																																																																																																																																																										
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																										
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																										
1251	110	2251	55	Extension for reply within first month																																																																																																																																																																																										
1252	410	2252	205	Extension for reply within second month																																																																																																																																																																																										
1253	930	2253	465	Extension for reply within third month																																																																																																																																																																																										
1254	1,450	2254	725	Extension for reply within fourth month																																																																																																																																																																																										
1255	1,970	2255	985	Extension for reply within fifth month																																																																																																																																																																																										
1401	320	2401	160	Notice of Appeal																																																																																																																																																																																										
1402	320	2402	160	Filing a brief in support of an appeal																																																																																																																																																																																										
1403	280	2403	140	Request for oral hearing																																																																																																																																																																																										
1451	1,510	1451	1,510	Petition to institute a public use proceeding																																																																																																																																																																																										
1452	110	2452	55	Petition to revive - unavoidable																																																																																																																																																																																										
1453	1,300	2453	650	Petition to revive - unintentional																																																																																																																																																																																										
1501	1,300	2501	650	Utility issue fee (or reissue)																																																																																																																																																																																										
1502	470	2502	235	Design issue fee																																																																																																																																																																																										
1503	630	2503	315	Plant issue fee																																																																																																																																																																																										
1460	130	1460	130	Petitions to the Commissioner																																																																																																																																																																																										
1807	50	1807	50	Processing fee under 37 CFR § 1.17(q)																																																																																																																																																																																										
1806	180	1806	180	Submission of Information Disclosure Statement																																																																																																																																																																																										
8021	40	8021	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																										
1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																										
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																										
1801	750	2801	375	Request for Continued Examination (RCE)																																																																																																																																																																																										
1802	900	1802	900	Request for expedited examination of a design application																																																																																																																																																																																										
Other fee (specify) <u>Petition to Make Special</u>					130.00																																																																																																																																																																																									
<b>SUBTOTAL (3) (\$)</b> <b>\$130.00</b>																																																																																																																																																																																														
<h3>1. BASIC FILING FEE</h3> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>1001</td> <td>750</td> <td>2001</td> <td>375</td> <td>Utility filing fee</td> <td style="text-align: right;">770.00</td> </tr> <tr> <td>1002</td> <td>330</td> <td>2002</td> <td>165</td> <td>Design filing</td> <td></td> </tr> <tr> <td>1003</td> <td>520</td> <td>2003</td> <td>260</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>1004</td> <td>750</td> <td>2004</td> <td>375</td> <td>Reissue filing</td> <td></td> </tr> <tr> <td>1005</td> <td>160</td> <td>2005</td> <td>80</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (1) (\$)</b></td> <td style="text-align: right;"><b>\$770.00</b></td> </tr> </tbody> </table> <h3>2. EXTRA CLAIM FEES FOR UTILITY AND</h3> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Extra Claims</th> <th colspan="2">Fee from below</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Total Claims</th> <th>-20** =</th> <th></th> <th>X</th> </tr> </thead> <tbody> <tr> <td>Independent Claims</td> <td>-3** =</td> <td>0</td> <td>X</td> <td style="text-align: right;">0.00</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>1202</td> <td>18</td> <td>2202</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>1201</td> <td>84</td> <td>2201</td> <td>42</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>1203</td> <td>280</td> <td>2203</td> <td>140</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>1204</td> <td>84</td> <td>2204</td> <td>42</td> <td>** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>1205</td> <td>18</td> <td>2205</td> <td>9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (2) (\$)</b></td> <td style="text-align: right;"><b>\$0.00</b></td> </tr> </tbody> </table>	Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1001	750	2001	375	Utility filing fee	770.00	1002	330	2002	165	Design filing		1003	520	2003	260	Plant filing fee		1004	750	2004	375	Reissue filing		1005	160	2005	80	Provisional filing fee		<b>SUBTOTAL (1) (\$)</b>					<b>\$770.00</b>	Extra Claims		Fee from below		Fee Paid	Total Claims	-20** =		X	Independent Claims	-3** =	0	X	0.00	Multiple Dependent					Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1202	18	2202	9	Claims in excess of 20		1201	84	2201	42	Independent claims in excess of 3		1203	280	2203	140	Multiple dependent claim, if not paid		1204	84	2204	42	** Reissue independent claims over original patent		1205	18	2205	9	** Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2) (\$)</b>					<b>\$0.00</b>	<p>**or number previously paid, if greater; For Reissues, see above</p>																																																																														
Large Entity		Small Entity		Fee Description			Fee Paid																																																																																																																																																																																							
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																																																																											
1001	750	2001	375	Utility filing fee	770.00																																																																																																																																																																																									
1002	330	2002	165	Design filing																																																																																																																																																																																										
1003	520	2003	260	Plant filing fee																																																																																																																																																																																										
1004	750	2004	375	Reissue filing																																																																																																																																																																																										
1005	160	2005	80	Provisional filing fee																																																																																																																																																																																										
<b>SUBTOTAL (1) (\$)</b>					<b>\$770.00</b>																																																																																																																																																																																									
Extra Claims		Fee from below		Fee Paid																																																																																																																																																																																										
Total Claims	-20** =		X																																																																																																																																																																																											
Independent Claims	-3** =	0	X	0.00																																																																																																																																																																																										
Multiple Dependent																																																																																																																																																																																														
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																																																																																									
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																																																																											
1202	18	2202	9	Claims in excess of 20																																																																																																																																																																																										
1201	84	2201	42	Independent claims in excess of 3																																																																																																																																																																																										
1203	280	2203	140	Multiple dependent claim, if not paid																																																																																																																																																																																										
1204	84	2204	42	** Reissue independent claims over original patent																																																																																																																																																																																										
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																										
<b>SUBTOTAL (2) (\$)</b>					<b>\$0.00</b>																																																																																																																																																																																									

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	GEORGE D. MORGAN, ESQ.	Registration No. (Attorney/Agent)	46,505
Signature		Telephone	973-597-2500
		Date	December 5, 2003

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Mathews, et al.

Docket No.

14846-29

Serial No.

TBA

Filing Date

December 5, 2003

Examiner

TBA

Group Art Unit

TBA

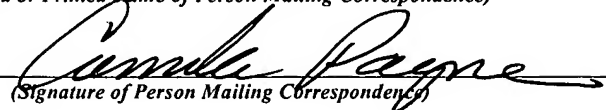
Invention: Systems and Methods for Trading Financial Instruments Across Different Types of Trading Platforms

I hereby certify that the following correspondence:

Utility Patent Application Transmittal with Fee Authority; Non-Provisional Patent Application; Drawings Figs.;  
Petition to Make Special; Unexecuted Declaration and Power of Attorney ; Certificate of Mailing by Express Mail  
bearing no: ET 307105247 US

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37  
CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

DECEMBER 5 2003*(Date)*CAMILLE PAYNE*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*ET 307105247 US*("Express Mail" Mailing Label Number)*

Note: Each paper must have its own certificate of mailing.